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10/815,705	04/02/2004	Tetsuharu Ohya	500.43733X00	9724

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EXAMINER

LE, THU NGUYET T

ART UNIT PAPER NUMBER

2169

DATE MAILED: 10/03/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

10/815,705

**Applicant(s)**

OHYA ET AL.

**Examiner**

Thu-Nguyet Le

**Art Unit**

2169

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 02 April, 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 04/02/2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date April 2, 2004.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

1. This action is responsive to communications through the applicant's application filed on 04/02/2004.

#### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 8-10 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

The phrase "such as" renders the claim indefinite because it is unclear whether the limitations following the phrase are part of the claimed invention. See MPEP § 2173.05(d).

#### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-2, 4, 6-7, and 11 are rejected under 35 U.S.C. 102(e) as being anticipated by Serbinis et al. (US 6,584,466).

***With respect to claim 1***, Serbinis discloses an information processing apparatus supporting secret information management, comprising:

a management master extraction module which receives a management target file containing secret information (figure 4, blocks 82, 83, column 9, lines 32-33) via an input interface (column 15, lines 64-65) and extracts management master information, including a file ID (column 7, line 62, "unique key/name") and information on validity of the management target file (column 8, line 1, "active" and "delete"), from the management target file;

a storage device which stores a file management database ("new document... are stored to the DMS system", column 7, lines 52-54) with which the management master information on each management target file is registered (column 7, line 50, "document records are created in DMS database");

a storage event output module which outputs a signal indicating a storage event of the management target file in the storage device to an output interface (figure 4, block 86, column 9, lines 50-52, "notification message to authorized user informing that the document in store");

a deletion target extraction module which receives a deletion request regarding the management target file via the input interface and extracts information on the management target file corresponding to the deletion request from the file management database (column 8, line 18, document is requested to be deleted);

a file deletion module which executes the deletion of the management target file from the storage device based on the information on the management target file extracted by the deletion target extraction module (column 8, lines 19-20, "the physical file corresponding to the document instance is removed/deleted from storage");

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a management master information update module which updates the validity information on the management target file deleted by the file deletion module, included in the management master information registered with the file management database, into invalid (column 8, line 1, the state for a document instance is "deleted" which means invalid); and

a deletion information output module which outputs a signal indicating that the management target file has been deleted by the file deletion module to the output interface (column 5, lines 66-67, column 6, line 1, "dispatches notifications...to users of DMS system concerning the status of documents stored in the DMS system").

**Claim 2** is rejected for the reasons set forth hereinabove for claim 1 and furthermore Serbinis teaches an information processing apparatus wherein a management master information deletion module which locates the management master information on the management target file which has been registered with the file management database and deletes the management master information (column 8, lines 20-21, when the physical file is removed, the corresponding document store record is deleted. It is inherently the record in document record on DMS system should be located first before it is deleted) in cases where deletion mode information included in the deletion request designates a mode requesting not only the deletion of the management target file but also the deletion of the management master information (column 8, lines 23-24, document record instance is removed from database corresponding to a condition of transaction log. This condition of transaction log can be interpreted as a mode requesting the deletion both file and file record).

**Claim 4** is rejected for the reasons set forth hereinabove for claim 1 and furthermore Serbinis teaches information processing apparatus wherein an access authority extraction module which receives a usage request regarding a management target file via the input interface (column 9, lines 66-67, "Authorized user may then request retrieval of the document form store") and extracts access authority information on the management target file corresponding to the usage request from the file management database (figure 2, block 61 "Document information" and "Rights (document and document group)", column 10, lines);

an access authority judgment module which receives user authority information on a user corresponding to the usage request via the input interface (figure 2, block 62 "name and logon information") and judges whether the management target file corresponding to the usage request may be accessed or not by checking the user authority information with the access authority information (column 10, lines 12-13, "whether authorized user has rights to get or check out a document depends upon the access rights granted");

an available file output module which extracts the management target file corresponding to the usage request from the storage device and outputs the extracted management target file to the output interface if the access authority judgment module judged that the management target file may be accessed (figure 4, block 90 "Authorized user receives document form internet store");

an updated file generation module which receives an update process for updating the management target file outputted by the available file output module via

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the input interface and thereby generates an updated file (column 10, lines 18-19, "an Authorized user has checked out and modified the document"); a

an updated file storage module which stores the updated file in the storage device (column 10, line 19, "check in the modified document to the DMS system"); and

an updated file registration module which extracts management master information on the updated file and stores the extracted management master information in the file management database (column 10, lines 21-22, "new version identifier in the document tables of DMS database").

**Claim 6** is rejected for the reasons set forth hereinabove for claims 1, 4 and furthermore Serbinis teaches information processing apparatus wherein a relevant deletion target extraction module which extracts information on the updated file derived from the management target file corresponding to the deletion request (column 8, line 18) in addition to the information on the management target file from the file management database;

a relevant file deletion module which executes the deletion of the updated file from the storage device based on the information on the updated file extracted by the relevant deletion target extraction module (column 8, lines 19-20, "the physical file corresponding to the document instance is removed/deleted from storage");

a relevant management master information update module which updates the validity information on the updated file deleted by the relevant file deletion module, included in the management master information registered with the file management database, into invalid (column 8, line 1, "deleted" means invalid); and

an informing module which informs a second information processing apparatus connected with the information processing apparatus via a network that the updated file has been deleted by the relevant file deletion module, via the output interface (column 5, lines 66-67, column 6, line 1, "dispatches notifications...to users of DMS system concerning the status of documents stored in the DMS system").

**Claim 7** is rejected for the reasons set forth hereinabove for claim 1 and furthermore Serbinis teaches an information processing apparatus wherein a business application process judgment module which judges whether a user has authority or not in a business process authority database, in which the presence/absence of deletion authority, backup authority or usage authority of each user regarding each management target file is stipulated, when a business application using a management target file is executed (figure 2, block 62, "Name and login information", column 9, lines 26-31, the specific access rights granted to each authorized user are recorded in the document tables of DMS database. Different users may be granted different access right); and a business application process execution module which extracts the management target file to be processed by the business application from the storage device and provides the management target file to the business application if the business application process judgment module judged that the user has the deletion authority, the backup authority or the usage authority regarding the management target file (column 9, lines 26-31, user can access, review, modify document basing on specified access rights granted to each user) .



***With respect to claim 11***, Serbinis discloses an information management method for managing secret information by use of an information processing apparatus, comprising the steps of:

receiving a management target file containing secret information (figure 4, blocks 82, 83, column 9, lines 32-33) through an input interface (column 15, lines 64-65) and extracting management master information, including a file ID (column 7, lines 62, "unique key/name"), information on access authority to the management target file (column 7, lines 58-59, "document right, document group right, document instance right"), and information on validity of the management target file (column 8, line 1, "active" and "delete"), from the management target file;

registering the management master information on each management target file with a file management database (column 7, line 50, "document records are created in DMS database");

storing the management target file in a storage device ("when new document... are stored to the DMS system") associating the same with the management master information ("document instance records are created") (figure 1A, block 30, column 7, lines 52-54);

outputting a signal indicating the storage event of the management target file in the storage device to an output interface (figure 4, block 86, column 9, lines 50-52, "notification message to authorized user informing that the document is stored");

receiving a deletion request regarding the management target file via the input interface and extracting information on the management target file corresponding to the deletion request from the file management database (column 8, line 18);

executing the deletion of the management target file from the storage device based on the information on the management target file extracted from the file management database (column 8, lines 19-20, "the physical file corresponding to the document instance is removed/deleted from storage");

updating the validity information on the management target file deleted from the storage device, included in the management master information registered in the file management database, into invalid (column 8, line 1, "deleted" means invalid); and

outputting a signal indicating that the management target file has been deleted to the output interface (column 5, lines 66-67, column 6, line 1, "dispatches notifications...to users of DMS system concerning the status of documents stored in the DMS system").

### ***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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7. Claim 3 is rejected under 35 U.S.C. 103(a) as being unpatentable over Serbinis et al. (US 6,584,466) in view of Johnson (US 7,080,260).

**Claim 3** is rejected for the reasons set forth hereinabove for claim 1.

Serbinis does not explicitly teaches information processing apparatus wherein an access authority extraction module which receives a backup request regarding a management target file via the input interface and extracts access authority information on the management target file corresponding to the backup request from the file management database;

an access authority judgment module which receives user authority information on a user corresponding to the backup request via the input interface and judges whether the management target file corresponding to the backup request may be accessed or not by checking the user authority information with the access authority information;

a copy generation module which extracts the management target file corresponding to the backup request from the storage device and generates a copy file of the management target file if the access authority judgment module judged that the management target file may be accessed;

a copy output module which outputs the copy file of the management target file to a backup medium; and

a copy file registration module which extracts management master information on the copy file and stores the extracted management master information in the file management database.

However, Johnson teaches a system to archive and retrieve data files wherein an access authority extraction module which receives a backup request regarding a management target file via the input interface (column 5, line 11) and extracts access authority information on the management target file corresponding to the backup request from the file management database (column 5, lines 36-38, 42, once user has logged on the server using user's password and been verified via second software as an authorized user. It is inherently authority information of the file is extracted and used in order to verify authorized user);

an access authority judgment module which receives user authority information on a user corresponding to the backup request via the input interface (column 5, line 23, "logon password") and judges whether the management target file corresponding to the backup request may be accessed or not by checking the user authority information with the access authority information (column 5, lines 37-38, "verified ... as an authorized user");

a copy generation module which extracts the management target file corresponding to the backup request from the storage device and generates a copy file of the management target file if the access authority judgment module judged that the management target file may be accessed (figure 2, block 34 "files ... are backed up");

a copy output module which outputs the copy file of the management target file to a backup medium (figure 2, block 38 "data stored", column 5, lines 57-58); and

a copy file registration module which extracts management master information on the copy file and stores the extracted management master information in the file

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management database (figure 2, block 61 "Document Information" and "Information on document instance").

It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the system to archive and retrieve encrypted data files as disclosed by Johnson into the information processing apparatus as disclosed in Serbinis to utilize encryption/decryption and code recognition technology associated with Secure Agent (column 1, lines 39-40) so that backup files are efficiently managed in order to improve protection of secret, classified information. One of ordinary skill in the art would be motivated to make the aforementioned combination with reasonable expectation of success.

8. Claims 5 is rejected under 35 U.S.C. 103(a) as being unpatentable over Serbinis et al. (US 6,584,466) in view of Boneh et al. (US 6,134,660). 6

**Claim 5** is rejected for the reasons set forth hereinabove for claim 1, 5.

Serbinis does not explicitly teaches information processing apparatus wherein a relevant deletion target extraction module which extracts information on the copy file derived from the management target file corresponding to the deletion request in addition to the information on the management target file from the file management database;

a relevant file deletion module which executes the deletion of the copy file from the backup medium based on the information on the copy file extracted by the relevant deletion target extraction module;

a relevant management master information update module which updates the validity information on the copy file deleted by the relevant file deletion module, included in the management master information registered with the file management database, into invalid; and

an informing module which informs a second information processing apparatus connected with the information processing apparatus via a network that the copy file has been deleted by the relevant file deletion module, via the output interface.

However, Boneh discloses a method that enables a user to remove a file from a file system and from all back up tapes (abstract, lines 1-2). The "remove-file" command instructs the computer system to delete a file (column 1, lines 53-54). Additional, operator has to remove the data from many backup tapes (column 2, lines 27).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the method as disclosed by Boneh into the information processing apparatus as disclosed in Serbinis to erase all copies of particular files, such as sensitive, confidential information (column 1, lines 39-40) in order to increase security of protected information. One of ordinary skill in the art would be motivated to make the aforementioned combination with reasonable expectation of success.

9. Claims 8-10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Serbinis et al. (US 6,584,466) in view of Capps (US 6,397,311).

**Claim 8** is rejected for the reasons set forth hereinabove for claim1.

Serbinis does not explicitly teaches information processing apparatus wherein a first copy execution module which copies information stored in the storage device into a second storage device after the deletion of the management target file from the storage device is executed by the file deletion module

a first demagnetization execution module which writes a prescribed data pattern to each memory unit such as each sector of the storage device for a preset number of times;

a second copy execution module which copies the information stored in the second storage device back into the storage device; and

a second demagnetization execution module which writes a prescribed data pattern to each memory unit such as each sector of the second storage device for a preset number of times.

However, Capps teaches a method of defragmenting a file system. After files are deleted in a file system, the free spaces on the disk space become fragmented (column 1, lines 14, 16-17). The method comprises copying all of the files to another medium, such as a tape drive. After coping, they are deleted from the file system. A utility program is run to rebuild the list of free space on the disk. The files are then copied back onto the file system (column 1, lines 29-33)

It would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate the method for defragmenting as disclosed by Capps into the information processing apparatus as disclosed in Serbinis to rearrange the file segments and free space on the disk so that each file resides in a contiguous region on

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the disk resulting in increased performance (column 1, lines 23-26). One of ordinary skill in the art would be motivated to make the aforementioned combination with reasonable expectation of success.

**Claims 9, 10** are rejected for the reason discussed related to claim 8. Since claim 8 is substantially equivalent to claims 9, 10.

### ***Conclusion***

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thu-Nguyet Le whose telephone number is 571-270-1093. The examiner can normally be reached on 7:30-5:00.

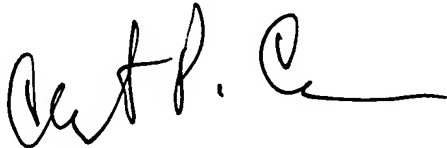
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Christian Chace can be reached on 571-272-4190. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.



Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

TL

Thu-Nguyet Le  
September 25, 2006

  
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